

PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

15

Application Number

09/720,277

Filing Date

12/21/2000

First Named Inventor

Hannel, et al.

Art Unit

2142

Examiner Name

Thong H. Vu

Attorney Docket Number

intdyn01.017

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD

Remarks



After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):

Return Postcard

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Gordon E. Nelson, Patent Attorney PC

Signature

Printed name

Gordon E. Nelson

Date

Jan. 24, 2005

Reg. No.

30,093

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

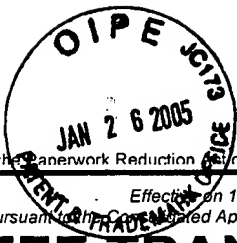
Gordon E. Nelson, #30,093

Date

1/24/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 200**Complete if Known**

Application Number	09/720,277
Filing Date	12/21/2000
First Named Inventor	Hannel, et al.
Examiner Name	Thong H. Vu
Art Unit	2142
Attorney Docket No.	intdyn01.017

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 501315 Deposit Account Name: Gordon E. Nelson, Patent Atty

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, **except for the filing fee**

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	<u>Small Entity</u> Fee (\$)	Fee (\$)	<u>Small Entity</u> Fee (\$)	Fee (\$)	<u>Small Entity</u> Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	<u>Small Entity</u> Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
Total Claims	Extra Claims	Fee (\$)
<u>24</u> - 20 or HP = <u>4</u> x <u>50</u> = <u>200</u>		
HP = highest number of total claims paid for, if greater than 20.		
Indep. Claims	Extra Claims	Fee (\$)
<u> </u> - 3 or HP = <u> </u> x <u> </u> = <u> </u>		
HP = highest number of independent claims paid for, if greater than 3.		

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fees Paid (\$)</u>
<u> </u> - 100 = <u> </u> / 50 = <u> </u> (round up to a whole number) x <u> </u> = <u> </u>				

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): _____

Fees Paid (\$)**SUBMITTED BY**

Signature	<u>Gordon E. Nelson</u>	Registration No. (Attorney/Agent)	30,093	Telephone	978-948-7632
Name (Print/Type)	Gordon E. Nelson	Date	1/24/2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(intdyn01.017)

5 **Applicant:** Hannel, et al.

Paper No.:

Application No: 09/720277

Group Art Unit: 2142

Filed: Dec. 21, 2000

Examiner: Thong H. Vu

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Title: *Generalized policy server*

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Assistant Commissioner for Patents
15 Washington, DC 20231

Response to non-final Office action under 37 C.F.R. 1.111

Summary of the prosecution

20 This patent application is the U.S. National Phase of PCT/US99/145,585, filed 6/28/99, which claims priority from U.S. provisional patent application 60/191,130, filed 6/29/98. Claims 1-12 are pending. In his first Office action mailed 10/25/2004, Examiner rejected claims 8-12 under 35 U.S.C. 101 as directed to non-statutory subject matter and under 35 U.S.C. 112, first and second paragraphs, and objected to claims 5-7 under 35 C.F.R.

25 1.75(c) as having improper forms for multiply-dependent claims. Examiner further rejected claims 1-13 (sic) under 35 U.S.C. 102(e) as being anticipated by U.S. patent 5,870,561, Jarvis, et al., *Network traffic manager server for providing policy-based recommendations to clients*, filed Mar. 15, 1996 and issued Feb. 9, 1999, henceforth "Jarvis". Applicants are amending their claims to overcome the rejection under 35

30 U.S.C. 101, are traversing the rejections under 35 U.S.C. 112, and are traversing the rejections under 35 U.S.C. 102(e). Applicants are further amending claim 1 to clarify it and are adding a new claim 13 dependent from claim 1.

Please amend the claims as follows: